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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 09/769,880 | 01/24/2001 | Bertrand A. Damiba | BVOC001 | 5478 |

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| EXAMINER | |
| MCFADDEN, SUSAN IRIS | |
| ART UNIT | PAPER NUMBER |
| 2626 | |

DATE MAILED: 08/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/769,880

Applicant(s)

DAMIBA, BERTRAND A.

Examiner

Susan McFadden

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 27 September 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-6, 11 and 16-26 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-6, 11 and 16-26 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 January 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

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DETAILED ACTION

1. In view of the appeal brief filed on 9-27-05, PROSECUTION IS HEREBY REOPENED.

New ground of rejections are set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 CFR 41.20 have been increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing below:


RICHEMOND DORVIL
SUPERVISORY PATENT EXAMINER

Claim Rejections - 35 USC § 112

1. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

2. Claim 4 is rejected under 35 U.S.C. 112, first paragraph, as based on a disclosure that is not enabling. "Experiments" critical or essential to the practice of the invention, but not included in the claim(s) is not enabled by the disclosure. See *In re Mayhew*, 527 F.2d 1229, 188 USPQ 356 (CCPA 1976). It is unclear what "experiments" are being performed in claim 4.

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

1. Claims 1, 4, and 11 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 11 is confusing since it has no actual structural elements; it is drawn to a "system", but the "logic" cannot actually perform the functions recited. In regard to claim 1, it is unclear how and why the "transcriptions" are generated and what they are used for. Regarding claim 4, it is unclear what the "experiments" are.

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

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A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1,4,5,6,11, and 20 are rejected under 35 U.S.C. 102(b) as being anticipated by Mitchell et al. (5,799,273).

In regard to claims 1,6, and 11, Mitchell et al. show in Figure 2, a system and method (including computer code and logic for) for improving a speech recognition process, comprising: maintaining a database of utterances (audio file); collecting information associated with the utterances in the database utilizing a speech recognition process (item 10); transmitting the utterances in the database to at least one user interface utilizing a network (item 15), receiving transcriptions of the utterances in the database from the at least one user interface utilizing the network (item 15), wherein a human is capable of utilizing the information and the transcriptions to improve a speech recognition application (col. 18-19, claim 15).

In regard to claims 4 and 20, Mitchell et al. show that the speech process is improved by performing experiments based on the information (Fig. 6, S33).

In regard to claim 5, Mitchell et al. show that the information includes a recognition result (Fig. 6, S31).

Claim Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which

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said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 3, 16-19 and 21-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mitchell et al. (cited above) in view of Kanevesky et al. (6,665,642).

In regard to claims 2 and 3, Mitchell et al. show the system above. They do not specifically show that transcriptions are received from the user interface using a Internet network browser. Kaneveksy et al. show a speech recognition system that includes a network browser (Abstract, Fig. 1A). Therefore, it would be obvious to one of ordinary skill in the art at the time of the invention to add this feature because browsers increase the flexibility of the Internet.

In regard to claims 16 and 17, Mitchell et al. show the system above. They do not specifically show that the information is selected from the group consisting of a name of a grammar each utterance was recognized against, a name of an audio file on a disk, a directory path to the audio files a size of the audio, a session identifier, an index of each utterance, a dialog state, a recognition status, a recognition confidence associated with a recognition result, a recognition hypothesis, a gender of a speaker, an identification of a transcriber, and a date the utterances are transcribed or that the information includes a name of a grammar each utterance was recognized against a name of an audio file on a disk, a directory path to the audio file, a size of the audio file, a session identifier, an index of each utterance, a dialog state, a recognition status, a recognition confidence associated with a recognition result. Kaneveksy et al. show the system above that includes a user database which could inherently contain those

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desired items. Therefore, it would be obvious to one of ordinary skill in the art at the time of the invention to add these items they make the system more user-friendly by storing more user-specific data.

In regard to claims 18 and 19, Mitchell et al. show the system above. They do not specifically show that the database is capable of being queried for results selected from the group consisting of a number of the utterances, a percentage of rejected utterances for a grammar, an average length of each utterance, a call volume in a predetermined range, a popularity of a grammar state, and a transcription management parameter, wherein the utterances and the information are stored in the database and the database queried for results includes a number of the utterances, a percentage of rejected utterances for a grammar, an average length of each utterance, a volume in a predetermined range, a popularity of a grammar state and a transcription management parameter. Kaneveksy et al. show the system above which includes a user database which could inherently be queried based on the users preferences. Therefore, it would be obvious to one of ordinary skill in the art at the time of the invention to add these functions because they make the system more user-friendly.

In regard to claims 21 and 22, Mitchell et al. show the system above. They do not specifically show that icons are used. Kaneveksy et al. show a speech recognition system which includes the use of various icons (col. 2, ln 5), wherein the at least one user interface includes additional icons for emitting previous and next utterances upon the selection thereof (visual transformation module, col. 13, ln 35-50). Therefore, it would be obvious to one of ordinary skill in the art at the

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time of the invention to add this feature because it makes the system more user-friendly.

In regard to claims 23 and 24, Mitchell et al. show the system above. They do not specifically show that at least one user interface includes a string field for allowing a user to enter a string corresponding to each utterance and a comment field for allowing a user to enter comments regarding a plurality of transcriptions. Kaneveksy et al. show a speech recognition system which includes the use of a string/comment fields (entering alphanumeric text, col. 11, ln 55-60). Therefore, it would be obvious to one of ordinary skill in the art at the time of the invention to add these features because it makes the system more user-friendly.

5. Claims 25 and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Mitchell et al. (cited above) in view of Beauregard et al. (5,974,413).

In regard to claims 25 and 26, Mitchell et al. show the system above. They do not specifically show that the at least one user interface includes a hint menu for allowing a user to choose from a plurality of strings identified by the speech recognition process or that the hint menu allows the user to do a mental comparison between the utterances and results of the speech recognition process. Beauregard et al. show a semantic user interface system which includes the use of giving "hints" (col. 29-30). Therefore, it would be obvious to one of ordinary skill in the art at the time of the invention to add these features because it makes the system more user-friendly.

Claim Rejections - 35 USC § 101

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6. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

7. Claim 11 is rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. Claim 11 falls into this category because it merely recites a logical structure.

Since the claimed "logic" can be a computer program and the program is not embodied on a computer readable medium, this claim is construed as a computer program. Claim 11 is therefore drawn to a "program" *per se* as recited in the steps and as such is non-statutory subject matter. See MPEP § 2106.IV.B.1.a. Data structures not claimed as embodied in computer readable media are descriptive material *per se* and are not statutory because they are not capable of causing functional change in the computer. See, e.g., *Warmerdam*, 33 F.3d at 1361, 31 USPQ2d at 1760 (claim to a data structure *per se* held nonstatutory). Such claimed data structures do not define any structural and functional interrelationships between the data structure and other claimed aspects of the invention, which permit the data structure's functionality to be realized. In contrast, a claimed computer readable medium encoded with a data structure defines structural and functional interrelationships between the data structure and the computer software and hardware components which permit the data structure's functionality to be realized, and is thus statutory. Similarly, computer programs claimed as computer listings *per se*, i.e., the descriptions or expressions of the programs are not physical "things." They are neither

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computer components nor statutory processes, as they are not "acts" being performed. Such claimed computer programs do not define any structural and functional interrelationships between the computer program and other claimed elements of a computer, which permit the computer program's functionality to be realized.

The features of the invention that would render the claimed subject matter statutory if recited in the claim is to include data input to the system and how it is measured and converted to the desired data. This would place the claims into a so-called "safe harbor" by requiring a physical act outside a computer (the physical input of speech and subsequent change of physical attributes thereof).

Another option would be to add limitations that indicate the practical use of the resultant data in an overall system.

For the claimed process to be statutory, the claim must either: (A) result in a physical transformation outside the computer for which a practical application is either disclosed in the specification or would have been known to a skilled artisan (pre-computer or post-computer process activity), or (B) be limited to a practical application.


Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Susan McFadden whose telephone number is 571-272-7621. The examiner can normally be reached on Monday-Friday, 9:30-6:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.


Susan McFadden
Primary Examiner
Art Unit 2626

July 31, 2006